

**City of Los Angeles  
Responsible Banking Investment Monitoring Program  
For Investment Banks**

Investment banks providing City investment banking services or seeking City investment banking business must complete and submit this form no later than July 1<sup>st</sup> of each year to the City Administrative Officer to comply with Chapter 5.1, Section 20.95.1 of the Los Angeles Administrative Code.

**Contact Information:**

Raymond James & Associates, Inc.			
Name of Financial Institution			
One Embarcadero Center, Suite 650	San Francisco	CA	94111
Street Address	City	State	Zip Code
Robert Larkins, Senior Managing Director			
Contact Person Name and Title			
(415) 616-8025	robert.larkins@raymondjames.com		
Telephone No.	Email Address		

Please answer the following questions for the preceding calendar year.

1. Did your firm make monetary donations to charitable programs within the City limits?  
Yes  No  If yes, please complete the attached form.
  
2. Did your firm provide any scholarship awards to residents of the City of Los Angeles?  
Yes  No 
  - a. How many scholarships were awarded? \_\_\_\_\_
  - b. What was the total value of the awarded scholarships? \_\_\_\_\_
  
3. Does your firm have internal policies regarding utilization of subcontractors which are designated as "women owned," "minority owned," or "disabled" business enterprises?  
Yes  No  If yes, please provide a copy of your policies.

**CERTIFICATION UNDER PENALTY OR PERJURY**

I certify under penalty of perjury that I have read and understand the questions contained in this form and the responses contained in the form and on all the attachments. I further certify that I have provided full and complete answers to each question, and that all information provided in response to this form is true and accurate to the best of my knowledge and belief.

Robert Larkins, Senior Managing Director		6/25/19
Print Name, Title	Signature	Date

**PLEASE SEND THE ORIGINAL SIGNED FORM TO THE ADDRESS BELOW AND EMAIL A COPY TO [CAO.DEBT@LACITY.ORG](mailto:CAO.DEBT@LACITY.ORG).**

**Office of the City Administrative Officer  
200 North Main St. Room 1500  
Los Angeles, CA 90012  
Attention: Debt Management Group**

**Attachment for Question #1 - Responsible Banking Investment Monitoring Program for Investment**

<b>Name of Charitable Organization</b>	<b>Type</b>	<b>Amount (\$)</b>
Race to Erase MS	Race to Erase MS Gala 2018	5,000.00
Community Partners fbo Los Angeles Food Policy Council	Good Food Gathering 2018	5,000.00
2020 Women on Boards	NCBD 2018 Tampa Sponsor	10,000.00
Youth Mentoring Connection	Mentoring Retreat 2018	6,000.00
Centro de Rehabilitacion Ebenezer, Inc.	Transportation	5,000.00

# RAYMOND JAMES®

June 25, 2019

Phillip Chou  
Finance & Risk Control Division  
Los Angeles Department of Water & Power  
111 N. Hope Street, Room 465  
Los Angeles, CA 90012

Dear Mr. Chou:

To comply with Chapter 5.1, Section 20.95.1 of the Los Angeles Administrative Code, this letter is being provided to the Los Angeles Department of Water & Power as requested by the Responsible Banking Ordinance – Corporate Citizenship Statement Form.

Raymond James is dedicated to an inclusive and diverse environment where differences are understood, respected and valued. As the Vice President of Procurement for Raymond James, I have the responsibility to ensure that the Firm's values with regard to diversity are extended to our suppliers as well.

Raymond James Procurement is leading the effort to clearly define a Supplier Diversity policy and communicate enterprise-wide by first quarter 2020. We have developed an approach to ensure that supplier diversity is considered as part of the supplier selection process, and we are currently working on updating our policies and procedures to incorporate supplier diversity accordingly. In October 2016, Raymond James contracted with a third party to assist with the diversity designation and classification of our supply base, which enabled Procurement to report diverse spend and percentage. In October 2017, Raymond James implemented the PeopleSoft ERP applications, including the Supplier Contract Module, which will provide contract reporting against our list of diverse suppliers.

Our vision is to employ Supplier Diversity in all contracting and procurement initiatives within the corporation to enhance the growth and development of Minority and Woman-Owned Business Enterprises. We look forward to updating you with our progress toward our supplier diversity program in future years.

Sincerely,



Lawrence Martiny  
Vice President, Procurement  
Raymond James & Associates, Inc.